

DEPARTMENT OF CORPORATIONS
California's Investment and Financing Authority
Sacramento, California



COMPLIANCE SURVEY TRANSMITTAL

Dear Licensee:

RE: Financial Privacy – Compliance Survey

Attached for your review and completion is a compliance survey relating to the California Financial Information Privacy Act ("Financial Privacy Act").

Why a Survey?

The California Department of Corporations is gathering this information as part of its examination process to help determine compliance with the Financial Privacy Act, pursuant to its authority under Financial Code Sections 4057 and 4058.

When and Where Do You Send The Survey?

Please complete the attached survey and mail it to this address:

Attn: Financial Privacy Survey Coordinator
California Department of Corporations
1515 K Street, Suite 200
Sacramento, CA 95814-4052

Remember to retain copies of this survey and any accompanying documents identified in the survey as part of your books and records, so the Department's examiners can request and review these documents during the next examination of your company, as necessary.

How Do You Fill Out The Survey?

Although the survey form is self-explanatory, to assist you further in understanding the Financial Privacy Act, we are attaching a copy of *frequently asked questions* that are also available together with other useful information on the Department of Corporations' webpage at www.corp.ca.gov under the "Financial Privacy" link.

♦ Securities ♦ Franchises ♦ Off-Exchange Commodities ♦ Investment and Financial Services ♦
♦ Independent Escrows ♦ Consumer and Commercial Finance Lending ♦ Residential Mortgage Lending ♦

SACRAMENTO 95814-4052
1515 K STREET, SUITE 200
(916) 445-7205

SAN FRANCISCO 94105-2980
71 STEVENSON STREET, SUITE 2100
(415) 972-8559

LOS ANGELES 90013-2344
320 WEST 4TH STREET, SUITE 750
(213) 576-7500

SAN DIEGO 92101-3697
1350 FRONT STREET, ROOM 2034
(619) 525-4233

1-866-ASK-CORP

www.corp.ca.gov

1-866-275-2677

When completing the survey, remember that the Financial Privacy Act requirements do not apply to certain information sharing activities such as, by way of example, when the consumer's nonpublic personal information is necessary to effect, administer or enforce a transaction requested or authorized by the consumer. A list of exemptions is contained in the attached *frequently asked questions* document as described in Financial Code Section 4056(b). If your information-sharing activities fall into one or more of these exemptions, you should answer the survey by indicating that you do not share or disclose a consumer's nonpublic personal information in a manner that would give rise to the requirement that you obtain the express written consent of the consumer. In this regard, the survey is intended only to measure the information sharing by licensees that fall under the obligations of the Financial Privacy Act.

Who Do You Contact If You Have Questions About This Survey?

If you should have any questions about this survey or need additional information, please contact the Financial Privacy Survey Coordinator at (916) 327-8396.

Thank you in advance for your time in completing this survey.